

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Page 1 of 2



FILING COMPLETION UNDER RULE 53(f)

(NOT PCT Applications)

For Design, Provisional, or Utility Applications

PATENT
APPLICATION

COMPLETION Under
Rule 53(f)

In re PATENT APPLICATION of
Inventor(s): Douwe MOLENAAR

Attn: Application Division

Appln. No.: 09 852,157
Series Code: ↑ Serial No. ↑

Atty. Dkt. P 278405 990012 BT-CIP
M# Client Ref

Filed: May 10, 2001

Title: Process for the production of L-amino acids by fermentation using coryneform bacteria

Hon. Commissioner of Patents
Washington, DC 20231

Date: September 6, 2001

Sir:

The following **completes the filing** under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filling signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or

"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
 - a. ☐ Abstract
 - b. # pages of Specification (only spec. & claims)
 - c. ☐ Drawing(s) No of Sheets
 - ☐ Fig(s).
4. ☐ Letter filing formal drawing attached.

5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 09/436,362	November 9, 1999	(2)	
(3)		(4)	
(5)		(6)	

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in GERMANY

Application No.	Filing Date	Application No.	Filing Date
(1) DE 199 12 384.5	March 19, 1999	(2)	
(3)		(4)	
(5)		(6)	

Completion Under Rule 53(f)

9. _____ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) _____
in U.S. Application No. _____ / _____ filed on _____
10. Small Entity Status ☐ ☒ is Not claimed ☐ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☐ Attached:
12. ☐ Preliminary Amendment:

THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

				Large/Small Entity		Fee Cod
13. Basic Filing Fee Design Application				\$320/\$160		106/26
Not Design Application				\$710/\$355	+710	101/201
14. Total Effective Claims	33	minus 20 =	13	x \$18/\$9	+234	103/203
15. Independent Claims	2	minus 3 =	0	x \$80/\$40	+0	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line <u>blank</u> if this is a <u>reissue</u> application)				\$270/\$135	+270	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+130	105/205
18. FILING FEE ENCLOSED =				\$1344		
19. Original due date: September 6, 2001						
20. Petition is hereby made to extend the <u>original</u> due date to				(1 mo)	\$110/\$55 =	115/215
cover the date this response is filed for which the requisite fee				(2mos)	\$390/\$195 =	116/216
is attached				(3mos)	\$890/\$445 =	117/217
				(4mos)	\$1390/\$695 =	118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee.				\$40	+40	581
23. Petition Fee for				\$130	+0	
24. TOTAL FEE ENCLOSED =				\$1384		

Our Deposit Account No. 03-3975

Our Order No. 21123

C#

278405

M#

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

Pillsbury Winthrop LLP
Intellectual Property Group

1600 Tysons Boulevard

By Atty: Michael A. Sanzo

Reg. No. 36912

McLean, VA 22102

Sig: Michael A. Sanzo

Fax: (703) 905-2500

Tel: (703) 905-2000

Tel: (703) 905-2173

Atty/Sec: MAS/AMX

NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments

Receipt
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION OF

Inventor(s): MOLENAAR et al.

Appln. No.: 09 | 852,157

Series Code ↑ | Serial No. ↑

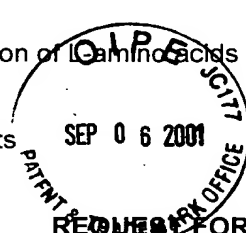
Filed: May 10, 2001

ATTENTION: Office of Initial Patent Examination
Customer Service Center

Title: Process for the production of L-amino acids by fermentation using coryneform bacteria

Asst. Commissioner of Patents
Washington, D.C. 202031

Date: September 6, 2001



Sir:

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

2. There is an error with respect to the following data which is

☒ incorrectly entered
Error in

and/or

☐ omitted
Correct data

1. ☒ Applicant's Name

1. Michel Eduard VAN DER REST

2. ☐ Applicant's Address

2.

3. ☐ Title

3.

4. ☐ Filing Date

4.

5. ☐ Serial Number

5.

6. ☐ Foreign/PCT Application Re

6.

7. ☐ Other

7.

3. It is understood that the PTO no longer charges for correcting filing receipts even when the error is applicants' mistake, but if that is incorrect and a fee is due for this correction please charge our Deposit Account No. 03-3975 under Order No. 21123/278405

**Pillsbury Winthrop LLP
Intellectual Property Group**

1600 Tysons Boulevard

By Atty: Michael A. Sanzo

Reg. No. 36912

McLean, VA 22102

Tel: (703) 905-2000

Atty/Sec: MAS/AMX

Sig: Michael A. Sanzo

Fax: (703) 905-2500

Tel: (703) 905-2173

(Attach Filing Receipt copy and PTO receipt PAT-103A)



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/852,157	05/10/2001	Douwe Molenaar	P 278405 990012 BT-CIP

00909
PILLSBURY WINTHROP LLP
1600 TYSONS BOULEVARD
MCLEAN, VA 22102

CONFIRMATION NO. 3863

FORMALITIES LETTER



OC000000006266292

Date Mailed: 07/06/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$504.
 - \$234 for 13 total claims over 20.
 - \$270 for multiple dependent claim surcharge.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1344.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

09/07/2001 EABUBAK1 00000069 09852157

PART 1 - ATTORNEY/APPLICANT COPY

01 FC:101	710.00 OP
02 FC:103	234.00 OP
03 FC:104	270.00 OP
04 FC:105	130.00 OP



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/852,157	05/10/2001	1615	0.00	P 278405 990012 BT- CIP		15	2

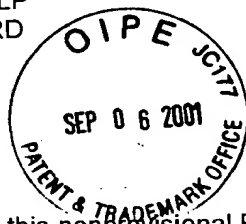
CONFIRMATION NO. 3863

FILING RECEIPT



OC000000006266291

00909
PILLSBURY WINTHROP LLP
1600 TYSONS BOULEVARD
MCLEAN, VA 22102

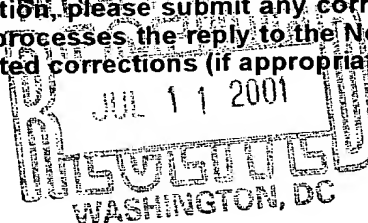


Date Mailed: 07/06/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Douwe Molenaar, Baesweiler, GERMANY;
Michel Eduard Venlo, GERMANY;
Bettina Mockel Bielefeld, GERMANY;
VAN DER REST



Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/436,362 11/09/1999

Foreign Applications

GERMANY 19912384.5 03/19/1999

If Required, Foreign Filing License Granted 07/06/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Process for the production of L-amino acids by fermentation using coryneform bacteria

Preliminary Class

424

Data entry by : ABRANYOS, ASKALE

Team : OIPE

Date: 07/06/2001



LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
 Office of Initial Patent Examination
 Customer Service Center
 Washington, DC 20231